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(Modified) PTO/SB/21 (6-98)  
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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission **5**

Application Number 09/993,384

Filing Date November 16, 2001

First Named Inventor Seth Stern

Group Art Unit 1743

Examiner Name Unassigned

Attorney Docket Number 01-053120US

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## ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Response
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Small Entity Statement
- ☐ Request for Refund

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Additional Enclosure(s) (please identify below):

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Please charge Deposit Account No. 50-0893 for any additional fees associated with this paper or during the pendency of this application, including any extensions of time for consideration of the documents enclosed.

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
or  
Individual name

Jonathan Alan Quine, Reg. No. 1,261, Quine Intellectual Property Law Group P.C.

Signature

*Jonathan Alan Quine*

Date

March 8, 2002

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: **March 8, 2002**

Typed or printed name Deborah Berwick

Signature

*Deborah Berwick*

Date

March 8, 2002



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On March 8, 2002

Quine Intellectual Property Law Group, P.C.

By Deborah Beriwick  
Deborah Beriwick

Attorney Docket No. 01-053120US  
Client Ref. No. 100/10210

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Seth Stern, *et al.*

Application No.: 09/993,384

Filed: November 16, 2001

For: Methods and Devices for Dispersion-  
Controlled Transport or Processing of Polar  
or Polarizable Materials

Examiner: Unassigned

Art Unit: 1743

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR § 1.97 and  
§ 1.98

Assistant Commissioner for Patents  
Washington, D.C. 20231

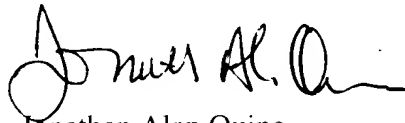
Sir:

The references cited on attached form PTO-1449 are being called to the  
attention of the Examiner. Copies of the references are enclosed. It is respectfully requested  
that the cited information be expressly considered during the prosecution of this application,  
and the references be made of record therein and appear among the "references cited" on any  
patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 50-0893. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

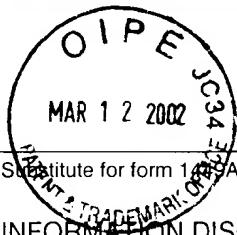
Respectfully submitted,

A handwritten signature in black ink, appearing to read "Jonathan Alan Quine". The signature is stylized with a large initial "J" and a long horizontal flourish at the end.

Jonathan Alan Quine  
Reg. No. 41,261

QUINE INTELLECTUAL PROPERTY LAW GROUP, P.C.  
P.O. Box 458  
Alameda, CA 94501  
Tel: (510) 337-7871  
Fax: (510) 337-7877

JAQ:db



<b>Substitute for form 100-A-B/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)	<b>Complete if Known</b>	
	Application Number	<b>09/993,384</b>
	Filing Date	<b>November 16, 2001</b>
	First Named Inventor	<b>Seth Stern</b>
	Group Art Unit	<b>1743</b>
	Examiner Name	<b>Unassigned</b>
	Attorney Docket Number	<b>01-053120US</b>
Date Submitted	<b>March 8, 2002</b>	

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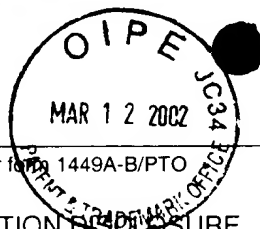
U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, lines, Where Relevant Passages or Relevant Figures Appear
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FOREIGN PATENT DOCUMENTS								
Examiner Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code (if known)				
	AA	WO	96/04547					
	AB	WO	98/45481					
	AC	WO	98/46438					
	AD	WO	98/49548					

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS				
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published		T
	AE	ASBURY AND VAN DEN ENGH (1998) "Trapping of DNA in Nonuniform Electric Fields," <i>Biophys. J.</i> 74:1024-1030		
	AF	BAKEWELL ET AL. (1998) "Dielectrophoretic Manuiplation of Avidin And DNA." <i>Proc. 20<sup>th</sup> Annunal International Conference of the IEEE Engineering in Medicine and Biology Society</i> ,		
	AG	BATCHELDER (1983) "Dielectrophoretic manipulator." <i>Rev. Sci Instrumi</i> 54:300-302		
	AH	FUHR ET AL. (1994) "Traveling-wave driven microfabricated electrohydrodynamic pumps for liquids." <i>J. Micromech. Microeng.</i> 4:217-226		
	AI	FURH ET AL. (1994) "Particle micromanipulator consisting to two orthogonal channels with travelling-wave electrode structures." <i>Sensors and Actuators A</i> 41-42:230-239		
	AJ	GREEN AND MORGAN (1997) "Dielectrophoretic separation of nano-particles." <i>J. Phys. D: Appl. Phys</i> 30:L41-L44		
	AK	GREEN ET AL. (1997) "Manipulation and trapping of sub-micron bioparticles using dielectrophoresis." <i>J. Biochem Biophys. Methods</i> 35:89-102		
	AL	GREEN ET AL. (1999) Sub-micrometre AC electrokinetics: particle dynamics under the influence of dielectrophoreesis and electrohydrodynamics." <i>Inst. Phys Conf. Ser.</i> 163:89-92		
	AM	HAGEDORN ET AL. (1994) "Design of asynchronous dielectric micromotors." <i>J. Electrostatics</i> 33:159-185		

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Substitute for form 1449A-B/PTO  INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (use as many sheets as necessary)	Complete if Known	
	Application Number	09/993,384
	Filing Date	November 16, 2001
	First Named Inventor	Seth Stern
	Group Art Unit	1743
	Examiner Name	Unassigned
	Attorney Docket Number	01-053120US
Date Submitted	March 8, 2002	

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AN	HUANG AND PETHIG (1991) "Electrode design for negative dielectrophoresis." <i>Meas. Sci. Technol</i> 2:1142-1146	
AO	HUANG ET AL. (1993) "Electrokinetic behavior of colloidal particles in travelling electric fields: studies using yeast cells." <i>J. Phys. D.: Appl. Phys.</i> 26:1528-1535	
AP	HUGES AND MORGAN (1998) "Dielectrophoretic Manipulation of Single-micron Scale Bioparticles." <i>J. Phys. D: Appl. Phys.</i> 31:2205-2210	
AQ	MÜLLER ET AL. (1996) "Trapping of micrometre and sub-micrometre particles by high-frequency electric fields and hydrodynamic forces." <i>J. Phys. D.: Appl. Phys</i> 29:340-349	
AR	PEGHIG (1996) "Dielectrophoresis: Using Inhomogeneous AC Electrical Fields to Separate and Manipulate Cells." <i>Critical Reviews in Biotechnology</i> 16:331-348	
AS	POHL (1958) "Some Effect of Nonuniform Fields on Dielectrics." <i>J. Appl. Phys.</i> 29:1182-1188	
AT	SCHNELLE ET AL. (1999) "Paired microelectrodes system: dielectrophoretic particle sorting and force calibration." <i>J. Electrostatics</i> 47:121-132	
AU	TALARY ET AL. (1995) "Dielectrophoretic Separation and Enrichment of CD34 Cell Subpopulation from Bone Marrow and Peripheral Blood Stem Cells." <i>Med &amp; Biol. Eng. &amp; Comp.</i> 33:235-237	
AV	WANG ET AL. (1993) "Selective Dielectrophoretic Confinement of Bioparticles on Potential Energy Wells." <i>J. Phys. D: Appl. Phys</i> 26:1278-1285	
AW	WASHIZU ET AL. (1994) "Molecular dielectrophoresis of biopolymers." <i>IEEE Trans. Ind. Appl.</i> 30:835-842	

Examiner Signature		Date Considered	
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